

A.

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**Attorney Docket No.** 002821.P001X

**First Named Inventor or Application Identifier** Jones et al.

**Express Mail Label No.** EL328715779US

|                    |  |
|--------------------|--|
| <b>ADDRESS TO:</b> | <b>Assistant Commissioner for Patents<br/>Box Patent Application<br/>Washington, D. C. 20231</b> |
|--------------------|--|

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.        **Fee Transmittal Form**  
(Submit an original, and a duplicate for fee processing)
2.   X   **Specification** (Total Pages   54  )  
(preferred arrangement set forth below)
- Descriptive Title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
3.   X   **Drawings(s) (35 USC 113)** (Total Sheets   8  )
4.   X   **Oath or Declaration/Power of Attorney** (Total Pages   6  )
- a.        Newly Executed (Original or Copy)
  - b.   X   Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed) (**Note Box 5 below**)
  - i.        DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5.   X   **Incorporation By Reference** (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.        **Microfiche Computer Program (Appendix)**
7.        **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
- a.        Computer Readable Copy
  - b.        Paper Copy (identical to computer copy)
  - c.        Statement verifying identity of above copies

# ACCOMPANYING APPLICATION PAPER

8. \_\_\_\_\_ Assignment Papers (cover sheet & documents(s))
9. \_\_\_\_\_ 37 CFR 3.73(b) Statement (where there is an assignee)
10. \_\_\_\_\_ English Translation Document (if applicable)
11. X a. Information Disclosure Statement (IDS)/PTO-1449
- \_\_\_\_\_ b. Copies of IDS Citations
12. \_\_\_\_\_ Preliminary Amendment
13. X Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. \_\_\_\_\_ a. Small Entity Statement(s)
- \_\_\_\_\_ b. Statement filed in prior application, Status still proper and desired
15. \_\_\_\_\_ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. \_\_\_\_\_ Other: \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:  
 \_\_\_\_\_ Continuation \_\_\_\_\_ Divisional X Continuation-in-part (CIP)  
 of prior application No: 08/982,942

## 18. Correspondence Address

\_\_\_\_\_ Customer Number or Bar Code Label \_\_\_\_\_  
 (Insert Customer No. or Attach Bar Code Label here)

or

X Correspondence Address Below

NAME

Michael A. DeSanctis

Reg. No. 39,957

**BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP**

**12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025**

**(303) 740-1980 Telephone**

**(303) 740-6962 Facsimile**

## EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL328715779US  
 I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

February 1, 2000  
 Date of Deposit  
Heather S. South  
 Name of Person Mailing Correspondence  
Heather S. South 2/1/00  
 Signature Date

Serial/Patent No.: \_\_\_\_\_ Filing/Issue Date: \_\_\_\_\_  
Client: Financial Engines, Inc.  
Title: "Financial Advisory System"  
BSTZ File No.: 002821.P0017 Atty/Secty Initials: MAD/hss  
Date Mailed: FEBRUARY 1, 2000 Docket Due Date: \_\_\_\_\_  
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:  
☐ Amendment/Response (\_\_\_\_ pgs.)  
☐ Appeal Brief (\_\_\_\_ pgs.) (in triplicate)  
☐ Application - Utility (\_\_\_\_ pgs., with cover and abstract)  
☐ Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.)  
☐ Application - Rule 1.53(b) Divisional (\_\_\_\_ pgs.)  
☒ Application - Rule 1.53(b) CIP (54 pgs.)  
☐ Application - Rule 1.53(d) CPA Transmittal (\_\_\_\_ pgs.)  
☐ Application - Design (\_\_\_\_ pgs.)  
☐ Application - PCT (\_\_\_\_ pgs.)  
☐ Application - Provisional (\_\_\_\_ pgs.)  
☐ Assignment and Cover Sheet  
☒ Certificate of Mailing  
☐ Declaration & POA (\_\_\_\_ pgs.)  
☐ Disclosure Docs & Orig & Copy of Invention Signed Letter (\_\_\_\_ pgs.)  
☒ Drawings: 2 # of sheets includes 2 figures  
☐ Other: \_\_\_\_\_  
☒ Express Mail No.: EL328715779US Check No. \_\_\_\_\_  
☐ \_\_\_\_\_ Month(s) Extension of Time Amt: \_\_\_\_\_  
☒ Information Disclosure Statement & PTO 449 (\_\_\_\_ pgs.) Check No. \_\_\_\_\_  
☐ Issue Fee Transmittal Amt: \_\_\_\_\_  
☐ Notice of Appeal  
☐ Petition for Extension of Time  
☐ Petition for \_\_\_\_\_  
☒ Postcard  
☐ Power of Attorney (\_\_\_\_ pgs.)  
☐ Preliminary Amendment (\_\_\_\_ pgs.)  
☐ Reply Brief (\_\_\_\_ pgs.)  
☐ Response to Notice of Missing Parts  
☐ Small Entity Declaration for Indep. Inventor/Small Business  
☒ Transmittal Letter, in duplicate  
Fee Transmittal, in duplicate

**EXPRESS MAIL CERTIFICATE OF MAILING**

"Express Mail" mailing label number: EL328715779US

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

February 1, 2000

Date of Deposit

Heather S. South

Name of Person Mailing Correspondence

Signature

Date

2/1/00